



North Carolina Department of Administration

PERFORMANCE MANAGEMENT SYSTEM

May 2014

In DOA, we use a performance management system to make sure employees understand the work expectations, measurements, and accountability. We encourage employees to strive to perform above the goals set in their performance plan. By exceeding the work goals, employees will enhance their success, the success of their division and the success of the Department of Administration.

POLICY STATEMENT - Annual performance appraisals are required for all Department of Administration employees. Performance expectations are to be developed at the beginning of the appraisal cycle. New employees are required to have a work plan established within 30 days of the date they are hired. The form must be completed by the supervisor and employee in accordance with the guidelines outlined in the performance management system policy.

The performance management system consists of three phases:

- I. Work Plan Development
- II. Confidential Interim Review
- III. Confidential Final Review

GENERAL REMINDERS

1. All components of the Work Plan, Development Plan, Interim Review, and Confidential Final Appraisal may be entered by computer or written in ink. The only exception is that the employee's, supervisor's, and manager's signatures with corresponding dates must be written in ink only.
2. The employee must be given a copy of his/her Work Plan, Interim Review, and Overall Performance Rating.
3. Any changes made to the Work Plan, Interim Review, and Overall Performance Rating must be initialed and dated by the employee, supervisor, and manager.
4. Employees wishing to appeal their **overall performance rating** of either "Below Good" or "Unsatisfactory" must do so in writing to the DOA employee relations manager within fifteen (15) calendar days from the date the employee signs the Final Review. Submit a completed Department of Administration Employee Grievance Filing Form to Human Resources Management.

INSTRUCTIONS

PHASE I – WORK PLAN DEVELOPMENT

1. Phase I begins the performance cycle with the development of the **Work Plan**. The Work Plan is a description of work expectations for the performance cycle; it also includes an individual development plan which is where employees and supervisors detail the learning and growth opportunities for the coming year. Ideally, the work plan identifies the clear priorities for individual performance success. There are three distinct parts of Phase I: **Key Responsibilities, Values, & Individual Development Plan**.
 - a. **Work Plan - Key Responsibilities:**
 - 1) List **Key Responsibilities** on the form in order of importance. A typical position would have from four to seven. Include **Key Roles** (broad descriptions of a group of responsibilities) only if the Division requires them.
 - 2) Identify each **Division Goal (Measure), Strategic Initiative, or Function** that each Key Responsibility contributes to and denote it in the Target column using abbreviations such as M1, SI2 or F1.
 - 3) Develop **Individual Performance Measures** for each Key Responsibility that establish clear **quality, quantity, timeliness**, and/or **cost** performance expectations. In many cases, you may need multiple measures to clearly measure a single Key Responsibility. You may also reference other existing tracking methods.
 - b. **Work Plan - Values**
 - 1) Review the **DOA/Division Values** and their identified behavioral descriptions to ensure employees have an understanding of the conduct needed to meet or exceed the department's values.
 - 2) Identify all **Tracking Sources** that describe how performance levels will be measured on both Key Responsibilities and Values.
 - c. **Individual Development Plan**
 - 1) List the **Knowledge, Skills** and/or **Abilities** that employees need to develop in order to strengthen contributions to the agency's success.
 - 2) Identify the **Division Goal, Strategic Initiative, or Function** that achievement of learning goal will contribute to and denote it in the Target column using abbreviations such as M1, SI2 or F1. Learning Goals can be annual goals or longer term goals depending on the needs of the employee. A frequent learning goal is cross-training in an identified program area.
 - 3) Identify multiple **Learning Strategies** for the development of the Knowledge, Skills and/or Abilities. Learning Strategies should be accomplished during the current performance cycle.
 - 4) Identify a **Target Time** for completing each Learning Strategy.
 - 5) Identify **Anticipated Obstacles** and **Resources Needed** for completion of the individual development plan.

PHASE II – CONFIDENTIAL INTERIM REVIEW

2. **Near the midpoint of the performance cycle, complete the Interim Review.** No performance rating is given during the interim review; however supervisor and direct reports should discuss performance on all aspects of the current work plan. An **Improvement Plan is required** for any expectation where performance is viewed as below the "Good" level. All improvement plans should include an agreed-upon schedule for reviewing progress toward improvement. Additional Interim Reviews, although optional, are encouraged and may be conducted at any point during the cycle.

PHASE III – CONFIDENTIAL FINAL REVIEW

3. At the end of the performance cycle, complete the Overall Performance Appraisal.

- a. Complete the Actual Results and Actual Behaviors Comments column on each page of the Work Plan for all items that were rated at levels other than “Good.”
- b. Complete a **Specific Rating** for each Key Responsibility and Value according to the rating scale below.
- c. Determine the **Final Overall Rating** and complete the **Narrative Summary**. If there are any inconsistencies between the Specific Ratings and the Final Overall Rating, provide an explanation in the Narrative Summary.

NORTH CAROLINA RATING SCALE

Outstanding Performance (O)	Performance is consistently far above the defined job expectations. The employee consistently goes far beyond what is expected of employees in this job. Performance that exceeds expectations is due to the effort and skills of the employee. Any performance not consistently exceeding expectations is minor or due to events not under the control of the employee.
Very Good Performance (VG)	Performance meets the defined job expectations and, in some instances, exceeds job expectations. The employee generally is doing a very good job. Performance that exceeds expectations is due to the effort and skills of the employee.
Good Performance (G)	Performance meets the defined job expectations. The employee generally performs according to the expectations doing a good job. The employee is doing a job at the level expected for employee in this position. The good performance is due to the employee's own effort and skills.
Below Good Performance (BG)	Performance may meet some of the job expectations but does not fully meet the remainder. The employee generally is doing the job at a minimal level, and improvement is needed to fully meet the expectations. Performance is less than a good job. Lapses in performance are due to the employee's lack of effort or skills.
Unsatisfactory Performance (U)	Performance consistently fails to meet the defined expectations or requires frequent close supervision and /or the redoing of work. The employee is not doing the job at the level expected for employees in this position. Unsuccessful job performance is due to the employee's own lack of effort or skills.

Performance Planning Definitions

Targets: There are three possible targets that an employee should directly contribute to:

Division Goal (Measure) – Each Division of DOA has clearly defined measures that are periodically reported to departmental managers and the public. Every employee has responsibilities that enhance organizational success, either directly or indirectly.

Strategic Initiatives - Strategic initiatives reflect specific changes your agency will make to succeed in the future.

Supporting Function – Supporting functions are those tasks that indirectly impact achievement on a Division Goal by enhancing success on a supporting function that ensures success on the overall mission of the Division. Supporting Functions should have clear measures that can be if achieved will enhance achievement on Division Goals.

Key Responsibilities – A specific description of what the employee is expected to achieve.

Individual Performance Measures – A specific measure of quality, quantity, timeliness, or cost that defines *outstanding*, *very good*, *good*, *below good* and *unsatisfactory* performance on a key responsibility and is aligned with a Division Goal, Strategic Initiative, or Supporting Function Target.

Actual Results/Observations – Clear description of performance. If employee receives a rating on any key responsibility or DOA Value other than *good*, a clear documented description of the how their performance exceeds or fails to meet expectations is required.

Learning Goal – Clear description of knowledge, skills or abilities (see below for definitions) that will enhance employee performance. Learning Goals define the attributes required to perform a job that can be developed through education and/or training.

Knowledge - The body of information an employee would need to perform a job related task

Skills - An observable physical proficiency to perform a task.

Abilities- An underlying, enduring trait or competency that is useful for performing tasks